

Counterfeit Parts Prevention Strategy Guide Product Overview

May 8, 2014

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GEOINT Futures Office

Prepared for:

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Chantilly, VA 20151-1715

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Counterfeit Parts Prevention Strategy Guide

Product Overview

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David C. Meshel, The Aerospace Corporation

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This presentation provides a summary overview of TOR-2014-02200, "Counterfeit Parts Prevention Strategy Guide", which was produced as part of the 2014 Mission Assurance Improvement Workshop.

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ORBITAL SCIENCES CORPORATION | DULLES, VA | MAY 7 - 8, 2014

Agenda



Part marking is blurred compared to authentic part

Part Shows "Blacktopping" and Remarking



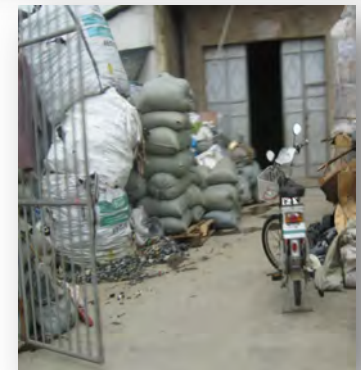
Marking slightly different on counterfeit part



- Motivation
- Counterfeit Escapes
- Intended Product Use
- Differentiators
- Charter and Outline
- Workshop Accomplishments
- SME Comment Summary
- Follow-on Recommendations
- Team Membership and Recognition



Counterfeiter removing die from part



*Bags of Electronic Waste

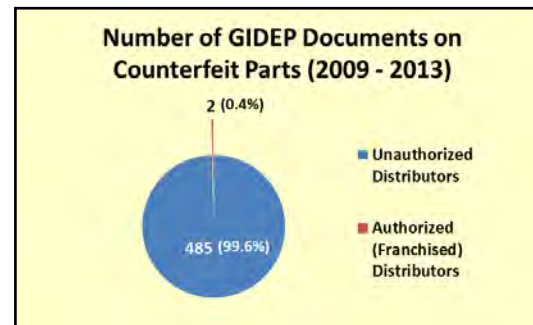


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*Photos courtesy of Tom Sharpe and SMT Corporation

Motivation

- 250% increase in suspected counterfeit cases between 2005 – 2008 with another 4X increase between 2009 – 2012
 - *For NSS systems only 1 known occurrence*
- New Public Law Instituted – 2012 NDAA, §818
 - *Requires “counterfeit electronic parts avoidance and detection systems”*
 - *Increased contractor liability / financial risk with limited safe harbor*
- Maintain Currency...Continuous Improvement
- Significant Portion of Counterfeit Threat Can Be Eliminated
 - *Simply procuring only from “authorized suppliers”*
 - *Applying risk mitigation techniques when using “unauthorized suppliers”*



Threat

Is This a Possible Source.....?

This flow illustrates how counterfeit parts can be sourced and eventually sold.



....a Higher Probability from Distributor/Broker

*Photos courtesy of Tom Sharpe and SMT Corporation

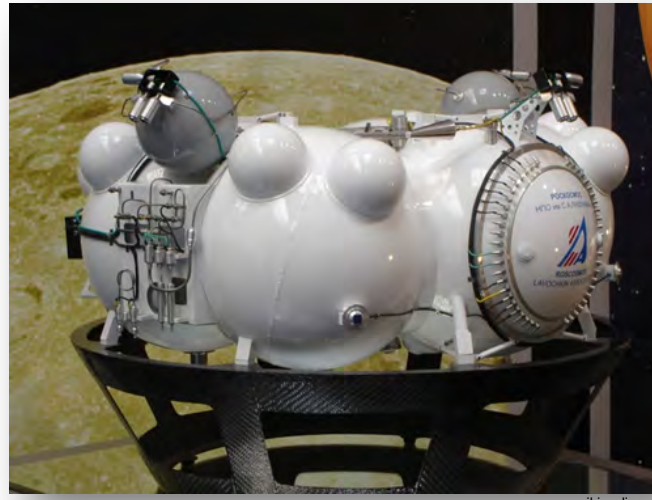
**Photo courtesy of Basal Action Network



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Impact of Counterfeit Parts

- Counterfeit Parts Can Cause:
 - *Personal injury*
 - *Mission failure*
 - *Reduced reliability*
 - *Risk to the War Fighter*
 - *Potential loss of contracts*
 - *Shutdown of manufacturing lines*
 - *Negative cost and schedule impacts*
 - *Penalties for companies and individuals*



Phobos Grunt

en.wikipedia.org

**No 2nd
Chances
for
Space**

Examples of USG Products with Counterfeit Parts

Suspect Counterfeit Parts
Space Level LM124 100 KRad in gull wing package

- DSCC P/N: 5962R9950401VZA
NSC P/N: LM124AWGRQMLV
- A contractor caught these parts during receiving inspection
- Contacted NSC to verify part marking
- Part received was a side brazed dip, not gull wing and mark is not National's
 - Date code and assembly identification code is incorrect
 - Plus parts aren't serialized

This letter "Z" indicates "gull wing" slanted leads



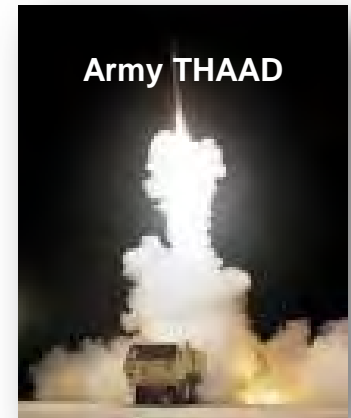
"This is a blatant counterfeit part" NSC

- 2007 Aerospace reported to SQIC 1st NSS CF part
- Traced to broker



www.defencetalk.com and www.worldtribune.com

- Display units with parts of unknown reliability
- Parts traced to China



www.army-technology.com

- Mission Computers
- Distributor provided parts
- Obsolescence

Themes

- **Unauthorized source procurement**
- **Inadequate requirement flow down**
- Unspecified testing and inspection requirements
- Reporting and quarantining failures

Relevance to Counterfeit Guide

- Preventive measures to avoid procuring from unauthorized sources
- Mitigation actions when only option is unauthorized source procurement
- Evaluation of all parts received from suspect suppliers

Intended Product Use

- Provide Guiding Principles and Practices for Contractors and Suppliers to align to and be compliant to 2012 NDAA, §818 and DFARS rule, 48 CFR 246.870 (**especially lower tiers**)
 - Establish and strengthen counterfeit prevention systems
 - Provide consistent implementation methodology throughout supply chain
 - Assist the supply chain in preparing for certifications
 - Potential utilization outside of space systems
- Professional associations or educational organizations
 - SAE International, JEDEC, AIA, NDIA, SIA, etc.
- Guide for Certifying Agencies
 - DCMA
- Assist for criminal investigation (support to)
 - DOJ Computer Crimes and Proprietary Information Section
 - National Intellectual Property Rights Coordination Center



Differentiators

- Preventative measures being implemented by NSS programs
- Techniques to ensure part availability from authorized suppliers
- Lessons learned, best practices, observations and case studies
- Basis for building an effective training program with links to fully developed programs
- New reporting and quarantining requirements
- Structured to match DFARS rule, 48 CFR 246.870 (released 16 May 2014)



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Themes from Lower-Tier Survey

- Assistance welcomed to better comply with requirements
- Procure from OCM and Authorized Distributors
- Standardized flow downs helpful
 - Commonality lowers costs
- Increased costs to implement law
- Unlimited liability potential




15. What can prime contractors do to help sub-tiers with counterfeit parts prevention?

Better education, training, process assessment and sharing of lessons learned



Counterfeit Parts Prevention Strategy Guide Charter

- Outline recommendations for Contractor Systems for Detection and Avoidance of Counterfeit Electronic Parts
- Provide methodologies for counterfeit avoidance
- Develop a risk assessment methodology when using unauthorized or non-franchised suppliers
- Identify methods to ensure and verify sub-tier compliance
- Address the evolving nature of the threat and what is needed to maintain currency

 Counterfeit Parts Prevention Strategies		
Team	Problem Statement	Examples
Team MAIW David Burtch (NASA/Space) Lead (Army USR) Team Members Mike Kahler (SAB) John Walker (GS) Mike Hines (GS/SG) Robert Ricci (NGSC) Greg Latham (GS/SG) George Young (Raytheon) Michael Woot (Raytheon) Wesley Langston (GS/C) Garry Strickland (NSA) Fred Schupp (MDU/Army) Mark White (MA/SG) Carter Ablesante (NSA) Michael Moore (Air Force)	With the new public law in effect, the liability and financial risk associated with counterfeit parts have escalated for all contractors. As a result, MAIW members have been enhancing their Counterfeit EEE Parts Prevention strategies. Lack of consistent implementation throughout the supply chain requires special emphasis. This MAIW topic will leverage the best practices from each team member to provide a stronger set of prevention strategies for the protection of deliverable space systems heretofore (ground or flight).	Senate Arms Service Committee Report (May 2012) contains counterfeit parts disclosures for the following programs: • THAAD • U.S. Navy SH-60B Helicopter • Air Force C-130J and C-27J • Navy P-8A Poseidon
Stakeholders	Charter	Products
• DMC • MDO • NSA • Industry Steering Committee Chairperson John Kowalski (JMI) Sept. 9, 2013	<ul style="list-style-type: none"> Outline recommendations of the Contractor Systems for Detection and Avoidance of Counterfeit Electronic Parts focusing on the 9 criteria required by law: 1) Training, 2) Inspection and test, 3) Apolish proliferation, 4) Parts traceability, 5) Use of trusted sources, 6) Reporting and quarantining, 7) Rapid identification, 8) Systems to detect and avoid, 9) Flow downs Trade study methodology for counterfeit avoidance (e.g. redesign vs. life time buy vs. open market purchases) Develop a Risk Assessment methodology for using non-authorized/franchised suppliers Identify methods to ensure verify supplier compliance Address the evolving nature of threat and what would need to be done to maintain currency 	<ul style="list-style-type: none"> Set of recommended practices for the prevention, detection, avoidance, reporting and disposition of counterfeit following the outline of 9 criteria required by law Strategy for ensuring Counterfeit Prevention compliance throughout the supply chain Set of recommended methods for identifying low risk non-authorized suppliers Set of recommended methods for identifying and determining authenticity of EEE parts Recommend updates to industry standards Ensure the product is written in a manner that promotes both awareness and training in our supply chain

Counterfeit Parts Prevention Content (1 of 2)

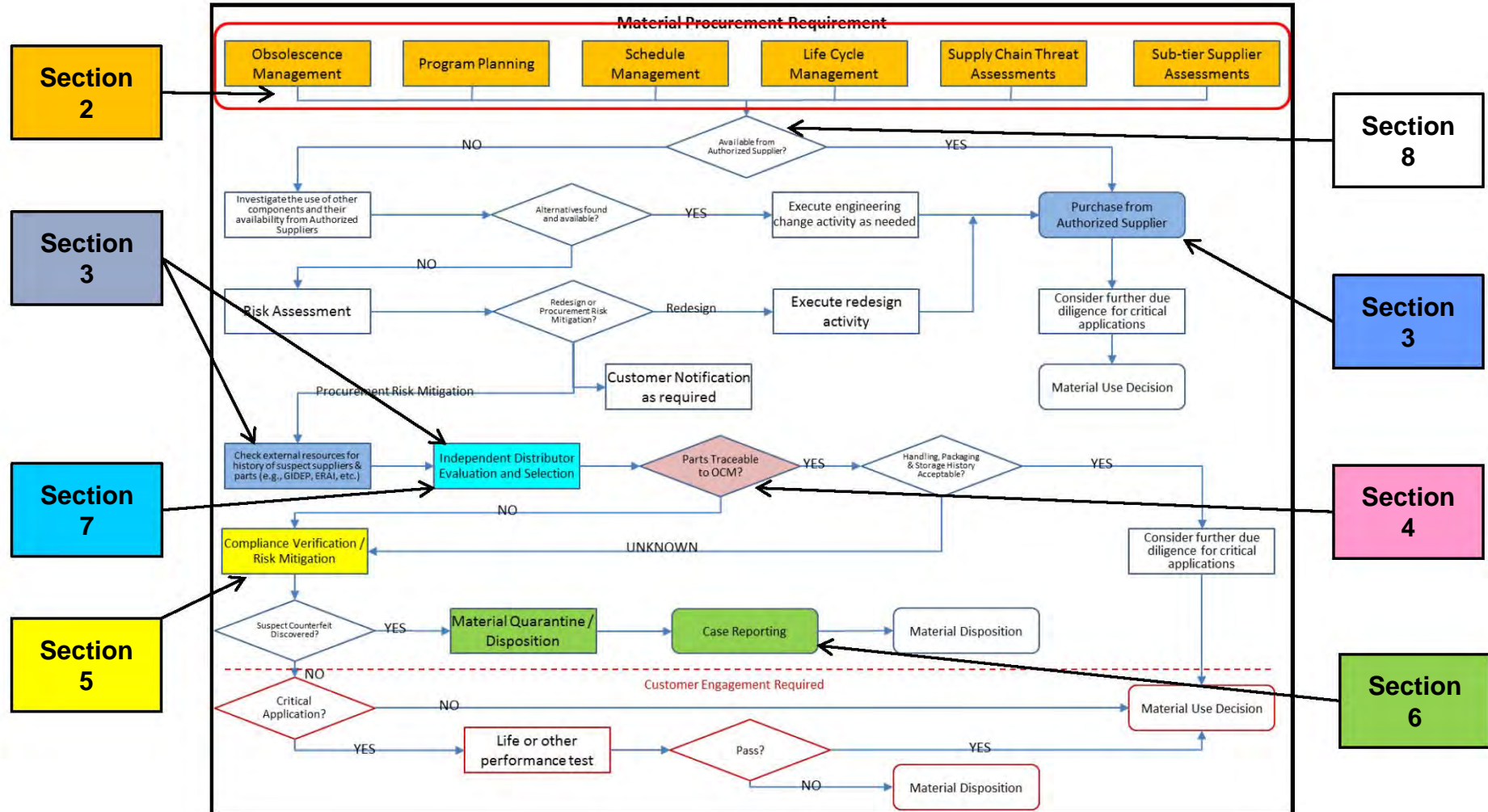
Main Body
Executive Summary
1. Introduction
2. Design, Operation and Maintenance of Systems to Detect and Avoid Counterfeit Electronic Parts
3. Use and Approval of Suppliers
4. Traceability of Parts to Suppliers
5. Inspection and Testing of Electronic Parts, Including Criteria for Acceptance and Rejection
6. Reporting and Quarantining of Counterfeit Electronic Parts and Suspect Counterfeit Parts
7. Flow Down of Counterfeit Avoidance and Detection Requirements
8. Training of Personnel
9. Summary
10. Suggested Updates to Industry Standards

**Aligns to the
Released DFARS**

Appendices
A – Training Resources
B – Best Practices and Lessons Learned
C – Observations and Driving Philosophies
D – Case Studies
E – How This Guide Fits In The Total Picture
F – CF Prevention Standards Applicability Analysis
H – Counterfeit Parts Process Audit Checklist
I – Acronyms
J – References



Counterfeit Parts Prevention Content (2 of 2)



Program Management and Procurement Flow



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Workshop Objectives & Accomplishments

- Incoming objectives of workshop
 - Brief team members on the released DFARS ruling and comparison to draft version
 - Identify changes needed to the document based on the released DFARS
 - Finalize ideas to be incorporated
 - Compare product with original charter
 - Disposition comments received
 - Obtain endorsement across team members for product and follow-on recommendations

Name of Submitter	Company Name	Topic/Year	Page	Section	Paragraph	Line Number	Figure/ Table/ Note	Findings (with justification/recommendations for change)	Proposed Change	Team/Team Disposition
Larry Harshbarger	Aerospace Corp	Counterfeit Parts Prevention Guide	1	Exec Sum	1	1		Check test articles starting in line 7 and replace with placeholder wording	Review with the following: In response to the increasing threat, the President signed the 2012 National Defense Authorization Act (NDAA), which requires very specific actions by contractors to eliminate the potential for counterfeit parts and control of counterfeit parts in any DoD system and places financial liability on the contractor for any impacts caused by counterfeit part escapes.	225: partially incorporated. Add 2 sentences for completeness and use "nonconform parts" instead of "escapes." (36)
CJ Lind	Hunts	Counterfeit Parts	30	5.1	1		Item K: Placeholder text	These are termed "minimum" tests but in fact the identical test can be quite expensive if the test software and fixtures must be developed.	Not clear if the word "minimum" is a word to be used. Recommend to change the reference to "The following tests are recommended and have been found valuable in detecting counterfeit parts."	227: incorporated. (36)
Mark King	Micropac	Counterfeit Parts Prevention Guide	40	6.2 Quantifying	6.2.3 (New)			Justification: Concern is to ensure the OCM or third party test facility must ensure destruction of non-compliant parts that are sent for disposition and/or reclamation of raw materials (such as gold). Since the definition of "counterfeit parts" also includes re-used or outdated, or expired item from a legally authorized source...	Suggestion: All non-compliant parts that are sent and will be disposed or sent for reclamation from any authorized supplier, OCM, or, when appropriate, approved supplier shall include in their scope disposition and/or reclamation processes the necessary steps to ensure the parts cannot be reused or reutilized in any way.	Items 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 100, 101, 102, 103, 104, 105, 106, 107, 108, 109, 110, 111, 112, 113, 114, 115, 116, 117, 118, 119, 120, 121, 122, 123, 124, 125, 126, 127, 128, 129, 130, 131, 132, 133, 134, 135, 136, 137, 138, 139, 140, 141, 142, 143, 144, 145, 146, 147, 148, 149, 150, 151, 152, 153, 154, 155, 156, 157, 158, 159, 160, 161, 162, 163, 164, 165, 166, 167, 168, 169, 170, 171, 172, 173, 174, 175, 176, 177, 178, 179, 180, 181, 182, 183, 184, 185, 186, 187, 188, 189, 190, 191, 192, 193, 194, 195, 196, 197, 198, 199, 200, 201, 202, 203, 204, 205, 206, 207, 208, 209, 210, 211, 212, 213, 214, 215, 216, 217, 218, 219, 220, 221, 222, 223, 224, 225, 226, 227, 228, 229, 230, 231, 232, 233, 234, 235, 236, 237, 238, 239, 240, 241, 242, 243, 244, 245, 246, 247, 248, 249, 250, 251, 252, 253, 254, 255, 256, 257, 258, 259, 260, 261, 262, 263, 264, 265, 266, 267, 268, 269, 270, 271, 272, 273, 274, 275, 276, 277, 278, 279, 280, 281, 282, 283, 284, 285, 286, 287, 288, 289, 290, 291, 292, 293, 294, 295, 296, 297, 298, 299, 300, 301, 302, 303, 304, 305, 306, 307, 308, 309, 310, 311, 312, 313, 314, 315, 316, 317, 318, 319, 320, 321, 322, 323, 324, 325, 326, 327, 328, 329, 330, 331, 332, 333, 334, 335, 336, 337, 338, 339, 340, 341, 342, 343, 344, 345, 346, 347, 348, 349, 350, 351, 352, 353, 354, 355, 356, 357, 358, 359, 360, 361, 362, 363, 364, 365, 366, 367, 368, 369, 370, 371, 372, 373, 374, 375, 376, 377, 378, 379, 380, 381, 382, 383, 384, 385, 386, 387, 388, 389, 390, 391, 392, 393, 394, 395, 396, 397, 398, 399, 400, 401, 402, 403, 404, 405, 406, 407, 408, 409, 410, 411, 412, 413, 414, 415, 416, 417, 418, 419, 420, 421, 422, 423, 424, 425, 426, 427, 428, 429, 430, 431, 432, 433, 434, 435, 436, 437, 438, 439, 440, 441, 442, 443, 444, 445, 446, 447, 448, 449, 450, 451, 452, 453, 454, 455, 456, 457, 458, 459, 460, 461, 462, 463, 464, 465, 466, 467, 468, 469, 470, 471, 472, 473, 474, 475, 476, 477, 478, 479, 480, 481, 482, 483, 484, 485, 486, 487, 488, 489, 490, 491, 492, 493, 494, 495, 496, 497, 498, 499, 500, 501, 502, 503, 504, 505, 506, 507, 508, 509, 510, 511, 512, 513, 514, 515, 516, 517, 518, 519, 520, 521, 522, 523, 524, 525, 526, 527, 528, 529, 530, 531, 532, 533, 534, 535, 536, 537, 538, 539, 540, 541, 542, 543, 544, 545, 546, 547, 548, 549, 550, 551, 552, 553, 554, 555, 556, 557, 558, 559, 560, 561, 562, 563, 564, 565, 566, 567, 568, 569, 570, 571, 572, 573, 574, 575, 576, 577, 578, 579, 580, 581, 582, 583, 584, 585, 586, 587, 588, 589, 590, 591, 592, 593, 594, 595, 596, 597, 598, 599, 600, 601, 602, 603, 604, 605, 606, 607, 608, 609, 610, 611, 612, 613, 614, 615, 616, 617, 618, 619, 620, 621, 622, 623, 624, 625, 626, 627, 628, 629, 630, 631, 632, 633, 634, 635, 636, 637, 638, 639, 640, 641, 642, 643, 644, 645, 646, 647, 648, 649, 650, 651, 652, 653, 654, 655, 656, 657, 658, 659, 660, 661, 662, 663, 664, 665, 666, 667, 668, 669, 670, 671, 672, 673, 674, 675, 676, 677, 678, 679, 680, 681, 682, 683, 684, 685, 686, 687, 688, 689, 690, 691, 692, 693, 694, 695, 696, 697, 698, 699, 700, 701, 702, 703, 704, 705, 706, 707, 708, 709, 710, 711, 712, 713, 714, 715, 716, 717, 718, 719, 720, 721, 722, 723, 724, 725, 726, 727, 728, 729, 730, 731, 732, 733, 734, 735, 736, 737, 738, 739, 740, 741, 742, 743, 744, 745, 746, 747, 748, 749, 750, 751, 752, 753, 754, 755, 756, 757, 758, 759, 760, 761, 762, 763, 764, 765, 766, 767, 768, 769, 770, 771, 772, 773, 774, 775, 776, 777, 778, 779, 780, 781, 782, 783, 784, 785, 786, 787, 788, 789, 790, 791, 792, 793, 794, 795, 796, 797, 798, 799, 800, 801, 802, 803, 804, 805, 806, 807, 808, 809, 810, 811, 812, 813, 814, 815, 816, 817, 818, 819, 820, 821, 822, 823, 824, 825, 826, 827, 828, 829, 830, 831, 832, 833, 834, 835, 836, 837, 838, 839, 840, 841, 842, 843, 844, 845, 846, 847, 848, 849, 850, 851, 852, 853, 854, 855, 856, 857, 858, 859, 860, 861, 862, 863, 864, 865, 866, 867, 868, 869, 870, 871, 872, 873, 874, 875, 876, 877, 878, 879, 880, 881, 882, 883, 884, 885, 886, 887, 888, 889, 890, 891, 892, 893, 894, 895, 896, 897, 898, 899, 900, 901, 902, 903, 904, 905, 906, 907, 908, 909, 910, 911, 912, 913, 914, 915, 916, 917, 918, 919, 920, 921, 922, 923, 924, 925, 926, 927, 928, 929, 930, 931, 932, 933, 934, 935, 936, 937, 938, 939, 940, 941, 942, 943, 944, 945, 946, 947, 948, 949, 950, 951, 952, 953, 954, 955, 956, 957, 958, 959, 960, 961, 962, 963, 964, 965, 966, 967, 968, 969, 970, 971, 972, 973, 974, 975, 976, 977, 978, 979, 980, 981, 982, 983, 984, 985, 986, 987, 988, 989, 990, 991, 992, 993, 994, 995, 996, 997, 998, 999, 1000

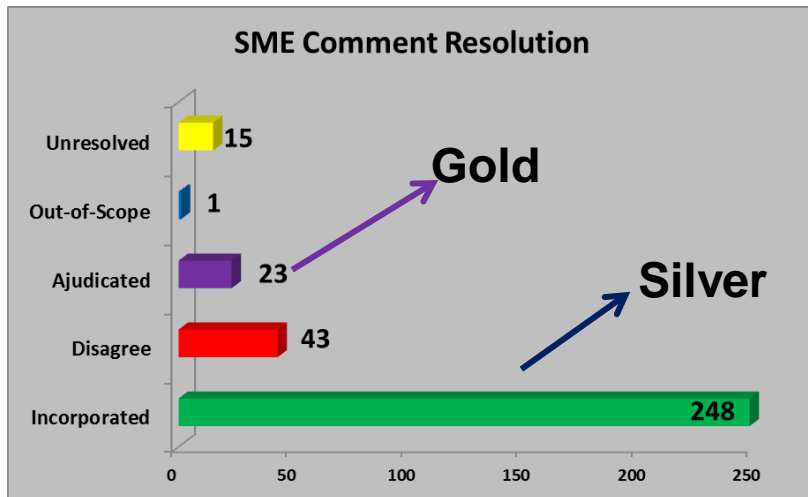
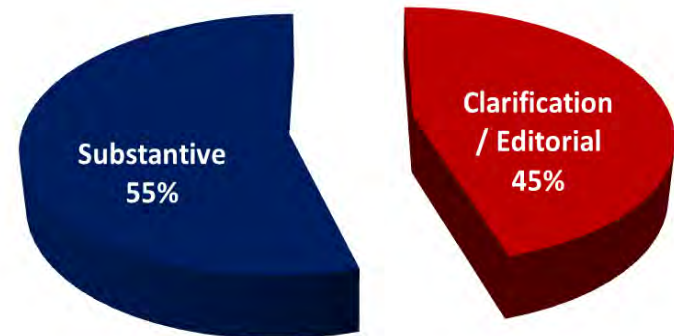
- Workshop Accomplishments
 - Obtained buy-in from SMEs and team members
 - Path forward to closing remaining open items
 - Briefing by Attorneys from the DOJ Cybercrimes on prosecution of counterfeit cases and reporting of counterfeit occurrences



SME Comment Summary

	SME Responders
Gov't Agencies / Contractors	17

SME Comments - Type



Observations

1. Extremely wide distribution of SMEs
2. Drove improved pedigree and credibility of document
3. Identified gaps and areas requiring increased attention
4. Outstanding clarification and readability recommendations

DFARS Counterfeit Avoidance and Detection Criteria

Criteria

- (1) Training of personnel
- (2) Inspection and testing
- (3) Processes to abolish counterfeit parts proliferation
- (4) Process for electronic part traceability
- (5) Use of original manufacturer or authorized sources
- (6) Reporting and quarantining
- (7) Methodologies to identify suspect counterfeit
- (8) Design, operation, and maintenance
- (9) Flow down
- (10) Process for improvement (new)
- (11) Screening of GIDEP (new)
- (12) Obsolescence management (new)

Notables:

- Electronics parts includes assemblies and embedded software / firmware
- Traceability
- Flow down to all sub-tier contractors
- GIDEP Access



Topic Follow-on Recommendations

- MAIW Follow-on Recommendations:
 - *“Malicious or destructive intent” considered out-of-scope for 2014*
 - 2015 product could incorporate these concepts, which may warrant different prevention and protection schemes
 - Subject to ITAR protection – Not for Public Release
 - *Develop a guideline document on selecting, qualifying, handling and verifying COTS assemblies including counterfeit prevention*
 - *Promote common database of supplier counterfeit audits, assessments, or surveys across industry*

Team Introductions

Core Team	
Company	Participant
The Aerospace Corporation	David Meshel
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SSL	John Walker
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The Boeing Company	Gerald Aschoff
DCMA	Christopher Brust
DoD AT&L/RESE GIDEP Program	Jim Stein
DOJ / CCPIS	Matthew Lamberti
Harris Corporation	C. J. Land
Integra Technologies	Sultan Ali Lilani
Lockheed Martin Corporation	Shawn Cheadle
Micropac	Mark King
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Counterfeit Parts Prevention Strategy Guide Product Overview

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